

04/05/01

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

For new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No.

1954-

First Inventor

David E. COMINGS

Title

METHOD OF PROFILING GENES AS RISK FACTORS FOR  
ATTENTION DEFICIT HYPERACTIVITY DISORDERAssignee Information: City of Hope  
Duarte, CA

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
3. ☒ Specification Total pages [ 40 ]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross references to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) (Total Sheets) [ 10 ]
5. ☐ Oath or Declaration (Total Pages) [ ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application  
(37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
**[Note Box 5 below]**
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,
6. ☐ Application Data Sheet.

ADDRESS TO: Assistant Commissioner of Patents  
Box Patent Application  
Washington, D.C. 20231

7. ☐ CD-ROM or CD-R in duplicate, large table  
or Computer Program
8. Nucleotide and/or Amino Acid Sequence Submission
  - a. ☒ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☒ paper (2 pages)
  - c. ☒ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement  
(when there is an assignee)
  - ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement /PTO 1449
  - ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s).
16. ☐ Request and Certification under 35 U.S.C.  
122(b)(2)(B)(i).
17. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below or in an  
application Data Sheet under 37 CFR 1.76:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner \_\_\_\_\_ Group/Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The  
incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.☒ Customer Number or Bar Code Label 6449

|           |  |           |              |          |               |
|-----------|--|-----------|--------------|----------|---------------|
| Address   | Rothwell, Figg, Ernst & Manbeck<br>Suite 701-East, 555 13th Street, N.W. |           |              |          |               |
| City      | Washington   | State     | D.C.         | Zip Code | 20004         |
| Country   | U.S.A.   | Telephone | 202-783-6040 | Fax      | 202-783-6031  |
| Name      | Stephen A. Saxe, Ph.D., Reg. No. 38,609                                  |           |              |          |               |
| Signature | Stephen A. Saxe  |           |              | Date     | April 5, 2001 |

**FEE TRANSMITTAL  
for FY 2001  
(Small Entity)**

*Complete if Known*

|                      |                  |
|----------------------|------------------|
| Application Number   | New Application  |
| Filing Date          | 5 April 2001     |
| First Named Inventor | David E. COMINGS |
| Examiner Name        | To Be Assigned   |
| Group Art Unit       | To Be Assigned   |

Total Amount of Payment (\$1,261.00)

Attorney Docket Number 1954-332

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge additional fees and credit any overpayment to Deposit Account Number 02-2135 in the name of Rothwell, Flgg, Ernst & Manbeck

☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status.

2. ☒ Payment Enclosed:

☒ Check

☐ Credit Card

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

| Fee Code            | Fee Paid | Fee Description  | Fee Paid |
|---------------------|----------|--|----------|
| 205                 | 65       | Surcharge - late filing fee or oath  | [ ]      |
| 227                 | 25       | Surcharge - late provisional filing fee or cover sheet                     | [ ]      |
| 139                 | 130      | Non-English specification  | [ ]      |
| 147                 | 2,520    | For filing a request for reexamination                                     | [ ]      |
| 112                 | 920      | Requesting publication of SIR prior to Examiner action                     | [ ]      |
| 113                 | 1,840*   | Requesting publication of SIR after Examiner action                        | [ ]      |
| 215                 | 55       | Extension for reply within first month                                     | [ ]      |
| 216                 | 195      | Extension for reply within second month                                    | [ ]      |
| 217                 | 445      | Extension for reply within third month                                     | [ ]      |
| 218                 | 695      | Extension for reply within fourth month                                    | [ ]      |
| 228                 | 945      | Extension for reply within fifth month                                     | [ ]      |
| 219                 | 155      | Notice of Appeal   | [ ]      |
| 220                 | 155      | Filing a brief in support of an appeal                                     | [ ]      |
| 221                 | 135      | Request for Oral Hearing   | [ ]      |
| 138                 | 1,510    | Petition to institute a public use proceeding                              | [ ]      |
| 240                 | 55       | Petition to revive -unavoidable  | [ ]      |
| 241                 | 640      | Petition to revive - unintentional   | [ ]      |
| 242                 | 620      | Utility issue fee (or reissue)   | [ ]      |
| 243                 | 220      | Design issue fee   | [ ]      |
| 244                 | 300      | Plant issue fee  | [ ]      |
| 122                 | 130      | Petitions to the Commissioner  | [ ]      |
| 123                 | 50       | Processing fee under 37 CFR 1.17(q)  | [ ]      |
| 126                 | 180      | Submission of Information Disclosure Statement                             | [ ]      |
| 581                 | 40       | Recording each patent assignment per property (times number of properties) | [ ]      |
| 246                 | 355      | Filing a submission after final rejection (37 CFR 1.29(a))                 | [ ]      |
| 249                 | 355      | For each additional invention to be examined (37 CFR 1.129(b))             | [ ]      |
| 279                 | 355      | Request for Continued Examination (RCE)                                    | [ ]      |
| 169                 | 900      | Request for expedited examination of a design application                  | [ ]      |
| 195                 | 300      | Publication fee for early, voluntary, or normal publication                | [ ]      |
| 196                 | 300      | Publication fee for republication  | [ ]      |
| 089                 | 200      | Filing an application for patent term adjustment                           | [ ]      |
| 090                 | 400      | Request for reinstatement of term reduced                                  | [ ]      |
| Other fee (specify) |          |  | [ ]      |

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL \$**

**FEE CALCULATION**

**1. FILING FEE**

| Fee Code | Fee \$ | Fee Description        | Fee Paid   |
|----------|--------|------------------------|------------|
| 201      | 355    | Utility filing fee     | [\$355.00] |
| 206      | 160    | Design Filing Fee      | [ ]        |
| 207      | 245    | Plant Filing Fee       | [ ]        |
| 208      | 355    | Reissue Filing Fee     | [ ]        |
| 214      | 75     | Provisional Filing Fee | [ ]        |

**SUBTOTAL \$355.00**

**2. CLAIMS**

| Total Claims | Independent Claims | Multiple Dependent Claims | Extra Claims | Fee    | Fee Paid |
|--------------|--------------------|---------------------------|--------------|--------|----------|
| [ 54 ]       | [ 20 ]             | [ 34 ]                    | x            | \$ 9 = | [\$306]  |
| [ 18 ]       | [ 3 ]              | [ 15 ]                    | x            | 40 =   | [\$600]  |
|              |                    |                           | +            | 135 =  | [ ]      |

\*\*or number previously paid, if greater;

**SUBTOTAL \$906.00**

|                        |   |                          |  |
|------------------------|---|--------------------------|--|
| SUBMITTED BY           |   | Complete (if applicable) |  |
| NAME AND REG. NUMBER   | Stephen A. Saxe, Ph.D., Reg. No. 38,609 |                          |  |
| SIGNATURE              | DATE                                    | DEPOSIT ACCOUNT USER ID  |  |
| <i>Stephen A. Saxe</i> | <i>April 5, 2001</i>                    |                          |  |